

Health and Safety Procedure: Risk Assessment

1. Introduction

- 1.1. The purpose of this Procedure is to set out the London School of Economics (hereafter the School or LSE) arrangements for undertaking risk assessments. This Procedure forms part of the suite of procedures which contribute to the overall objectives of the LSE's Health & Safety Policy.
- 1.2. The School recognises the importance of undertaking risk assessments as an integral part of its risk identification and risk management strategy.
- 1.3. The School has a statutory duty under the Management of Health and Safety at Work Regulations and other legislation to undertake suitable and sufficient assessments of its work activities in order to identify significant risk and determine what measures are required to eliminate, avoid or manage these risks. The School recognises that risk may take a variety of forms including injury and ill-health to people and loss/damage to property.

2. Scope

- 2.1. This Procedure applies to all organisational departments (Departments, Divisions,

- Research Centres, Institutes or other units), and managers within the School
- 2.2. The findings of risk assessments apply to all persons working for the School and its associated activities.
 - 2.3. The procedure also applies to employees working on School business away from their normal place of work.
 - 2.4. Self-employed persons are responsible for their own health and safety and should have their own procedures for undertaking risk assessments. These procedures should be no less than those within the School Procedure.

3. Definitions

- 3.1. Hazard: something with the potential to cause injury, loss or damage
- 3.2. Risk: the likelihood and severity of that harm, injury, loss or damage occurring
- 3.3. Harm: Injury, hurt, pain, suffering, trauma, distress, ill-health
- 3.4. Suitable & sufficient: the assessment should be adequate and appropriate, fit for purpose and able to meet a required need. The assessment details should therefore be proportionate to the risk and valid for a reasonable period of time.
- 3.5. Safe working practice: Written or unwritten methods outlining how to perform a task with minimum risk to people, equipment, materials, environment, and processes.
- 3.6. Method statement: Describes in a logical sequence exactly how a job is to be carried out in a safe manner and without risks to health. It includes all the risks identified in the risk assessment and the measures needed to control those risks.
- 3.7. RAMS: Acronym for Risk Assessment & Method Statement.
- 3.8. Human error: Something that has been done that was not intended. For example, a mistake or lapse of attention, that leads to a deviation from intention, expectation or procedure that results in harm or loss.
- 3.9. RIDDOR: Refers to the requirements of the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013.
- 3.10. Department refers to all Academic Departments, Institutes, Centres and Professional Service Divisions.

4. Duties under the law

- 4.1. The LSE as an Employer has duties under the Health and safety at Work Act 1974.
- 4.2. The Management of Health and Safety at Work Regulations 1999 specifically require employers to undertake a suitable and sufficient assessment of the risks to employees and persons not in their employment.
- 4.3. The requirement to undertake specific risk assessments is also laid down in a range of other legislation listed in Appendix B.

5. Responsibilities

Academic Departments and Units and Administrative Areas

- 5.1. HODS and Service Leaders are charged with ensuring risk assessments are carried out for general activities, processes and systems under their control and within their area of responsibility.

Line Managers

- 5.2. Implement the Risk assessment Procedure within their areas of control.
- 5.3. Have in place a system for identifying hazards assessing risks within their areas of control.
- 5.4. Identify the measures needed to remove or reduce these risks and put these measures in place.
- 5.5. Provide guidance to staff on safe working practices.
- 5.6. Record the details of the risk assessment.
- 5.7. Monitor and review risk assessments.

The Estates Division is responsible for:

- 5.8. Undertaking risk assessments relating to buildings, facilities management etc. This may include, but is not confined to: fire risks, legionella, general security, electrical safety, maintenance of the general fabric of the buildings and general safety of all LSE buildings.
- 5.9. Checking that their contractors have appropriate and suitable and sufficient risk assessments in place for work being undertaken.
- 5.10. Checking that their contractors comply with the requirements of the Construction (Design & Management) Regulations 2015.

Employees including agency staff

- 5.11. Assist and co-operate with line managers when they are undertaking risk assessments.
- 5.12. Implement and follow the findings and control measures laid down in any risk assessment.
- 5.13. Notify their line manager of anything that could cause the risk assessment to no longer be valid.
- 5.14. Notify their line manager of any risks that are not being adequately controlled.

Health and Safety Team

- 5.15. Provide guidance and advice on risk assessment to the School and its employees.
- 5.16. Provide accredited risk assessment training.

6. Implementation/procedure

Training and information

- 6.1. Managers and employees should be given appropriate information regarding the School's "Risk assessment Procedure".
- 6.2. Managers and employees responsible for undertaking general risk assessments should attend and undertake appropriate risk assessment training.
- 6.3. Accredited general risk assessment training will be provided by the Health and Safety Team. This can be booked via the Training System.
- 6.4. Managers should inform all relevant employees of the key findings of risk assessments, and any steps they need to take to avoid, minimise or reduce the risks.

Risk assessment form & guidance on assessment

- 6.5. The recommended risk assessment form for general risk assessments is contained at Appendix 1 of this Procedure. Other forms may be accepted, so long as they capture the equivalent information.

Special consideration

- 6.6. When assessing who can be harmed by a particular work activity, special consideration must be given to individuals that fall into the following categories:
- Female workers of child-bearing age
 - Expectant or nursing mothers
 - Young persons under the age of 18
 - Other groups of persons who may be considered vulnerable

Assessing the risks to female workers of child-bearing age

- 6.7. Because in many cases an individual may not know they are pregnant until the pregnancy has advanced a number of weeks, prior consideration should be given to the risk to the mother and/or unborn child.
- 6.8. Exposure to a range of hazards can have an adverse effect on a person's ability to conceive or may affect the development of an unborn child. These include radiation, vibration, mutagenic or teratogenic chemicals, microbiological hazards, or excessive physical exertion. It is unlikely that work activities undertaken by the School will result in exposure to any of these hazards, however managers should remain aware of these risks and should contact the Health and Safety Team if they have any queries.

Expectant or nursing mothers

- 6.9. When an employee notifies her manager that she is pregnant, has recently given birth (including to a stillborn child after 24 weeks of pregnancy) or is a nursing mother, the manager must review all risk assessments relating to work or tasks undertaken by the employee to ensure that neither the mother nor child is placed at risk.
- 6.10. Pregnant members of staff are encouraged to read the [Tips for Expectant Mothers](#) and to talk to their line managers if they have any concerns.

Young persons

- 6.11. Where a person under the age of 18 is employed or undertakes work experience, a risk assessment should be undertaken by the relevant manager in the host department to identify any risks to their health or safety that may arise as a consequence of their work. Individual factors such as a lack of maturity, lack of experience or absence of awareness of risks and behaviour should be considered.

Children

- 6.12. Assessments should be undertaken for children who are in the workplace. (A child is someone under the compulsory school leaving age). This could be when a child accompanies a parent, guardian or other person in the course of their work. Please note this does not apply to the LSE nursery.

Vulnerable groups

- 6.13. Special consideration should be given to persons who are considered to be at particular

risk due to physical, mental or psychological disadvantages.

7. Monitoring

Monitoring

7.1. Performance will be measured using active and reactive monitoring techniques against this Procedure.

Active Monitoring

- 7.2. Heads of Academic Departments & Service Leaders should monitor and review the implementation of this Procedure within their management area. Monitoring should check that assessments have been undertaken and the identified control measures have been implemented.
- 7.3. Risk assessments should be reviewed every 3 years or where there has been a significant change.
- 7.4. An assessment must be reviewed following any significant event such as an accident or incident (See guidance on review of assessment in Appendix1).
- 7.5. An assessment should be reviewed when circumstances change that may cause the original assessment to be invalid, such as changes in personnel, work patterns, or work equipment.

Reactive Monitoring

7.6. Following accidents, incidents or staff sickness in connection with the work assessed managers should review the effectiveness of risk assessments.

8. Audit and Review

- 8.1. Arrangements within this Procedure will be subject to audit as part of the internal auditing programme governed by Audit Committee.
- 8.2. This Procedure will be reviewed every 3 years or where there is material change.

References:

The Health and safety at Work Act 1974.

The Management of Health and Safety at Work Regulations 1999 (Regulation 3)

HSE: A brief guide to controlling risks in the workplace: indg 163

HSE Website on Risk assessment: <http://www.hse.gov.uk/risk/index.htm>

Risk Assessment

What is a Risk Assessment?

“An assessment of risk is a careful examination of what, in your work, could cause harm to people, so that you can weigh up whether you have taken enough precautions or should do more to prevent harm”

Whilst generic assessments and advice may be reasonably comprehensive and will for the most part provide suitable and sufficient generic advice on controlling and minimising risks, it is quite likely that there will be hazards which are particular to a site, its activities or a local environment and these will need to be identified and acted upon. For this reason, it is important that managers should be confident in undertaking their own risk assessments.

Staff should have access to appropriate manuals and adopt and understand the advice, guidance, and findings of risk assessments and safe systems of work contained within.

Regulation 3 of the Management of Health & Safety at Work Regulations 1999 states;

Every employer shall make a suitable and sufficient assessment of –

- The risks to the health and safety of his employees to which they are exposed whilst they are at work: and
- The risks to the health and safety of persons not in his employment arising out of or in connection with the conduct by him of his undertaking.

There are 5 steps to a risk assessment.

STEP 1 Look for and identify the hazards with potential to cause harm, arising from a work activity or process

STEP 2 Decide who might be harmed and how

STEP 3 Evaluate the risks (The **RISK** is the likelihood or chance (high or low) that somebody will be harmed by the hazard).and decide if the existing precautions are adequate or whether more should be done to control the risks: If more needs to be done Identify and implement additional control measures to reduce the risk to an acceptable level

STEP 4 Record the significant findings and make sure all those involved in or affected by the work activity are aware of what must be done to control the risk

STEP 5 Review your assessment and revise it if necessary



[A BRIEF GUIDE TO CONTROLLING RISKS IN THE WORKPLACE \(indg.163\).pdf](#)

This leaflet aims to help you assess health and safety risks in the workplace and describes the 5 steps to risk assessment.

5 Steps to Risk Assessment

1. Identify the hazards

Consider the range of hazards encountered by your activities or present in the workplace. A **HAZARD** is something with the potential to cause harm including ill health. You may find it useful to involve all staff in this exercise, to identify concerns they may have. You will find that hazards cover a wide range and will be associated with work activities, materials, substances, equipment, workplace layout, buildings, people and procedures. Each hazard in turn may have a particular range of risks associated with it. Mention in your assessment any harm that may be caused by the hazard.

2. Consider who may be harmed

This may include employees, contractors, self-employed and visitors to the site. You will need to identify which of these groups are exposed to the hazard. Particular attention should be paid to any vulnerable groups such as young persons, anyone with disabilities, lone workers, new employees and members of the public.

3. Evaluate the risk & determine if current controls are adequate

When considering the level of risk (Risk rating), you should consider:

- a) The likelihood of harm being realised and
- b) The severity of injury if this happens.

Each of the above are allotted a score which are multiplied together to give the overall risk rating.

Having assessed these factors, you can determine how great the risk is that people face. This will affect the risk level and consequently the priority and speed at which control measures should be implemented.

Take account of any specific legal requirements relating to the hazard. In most situations the law requires employers to take steps to control the hazard 'so far as is reasonably practicable'. This means that the cost, time and trouble of control measures to be implemented are balanced against the severity of potential harm that could occur. The law does not expect expensive control measures to be undertaken which will only marginally reduce the risk level.

ASSESSMENT OF RISK LEVEL

RISK LEVEL = HAZARD SEVERITY (S) X LIKELIHOOD OF OCCURRENCE (L)

Be aware that risk ratings are only a very broad guideline to the level of risk in any area. These may be dependent on an individual's subjective view, experiences and perception of risk. Risk rating should allow you to prioritise actions where a range of hazards exist.

All risks should be reduced to the lowest level possible, however any score of 8 or over should receive immediate attention.

SEVERITY IS ASSESSED ON A SCALE OF 1-5

5-VERY HIGH	Causing multiple deaths, (injury or ill health) and widespread destruction
4-HIGH	Causing death or serious injury to an individual. Reportable specified injuries/diseases/dangerous occurrences under RIDDOR
3-MODERATE	Causing injury capable of keeping an individual off work for over 7 days or reportable disease under RIDDOR
2-SLIGHT	Causing minor injury which will allow the individual to continue work after first aid treatment.
1-NIL	No risk of injury or disease

LIKELIHOOD OF OCCURRENCE IS ASSESSED ON A SCALE OF 1-5

5-ALMOST CERTAIN	If activity continues there is almost 100 % certainty that the accident will happen sometime. (e.g., exposed electrical conductor, unstable stack of objects)
4-LIKELY	Taking into account the effects of human error, defective equipment etc. it is likely that an accident will occur sometime. (e.g. puddle of slippery waste oil or water on floor or stairs)
3-QUITE POSSIBLE	The accident will happen if additional factors precipitate it.
2-POSSIBLE	Probability is low
1-NOT LIKELY	There is really no risk present. Only under freak conditions could a risk be present. All reasonable precautions have been taken.

RISK GRID

Red Zone: 17-25: High risk

Do not proceed with the activity until a full assessment has been undertaken and steps put in place to minimise/reduce the risks. Seek further advice from your Health and Safety Advisors if necessary.

Orange Zone: 10-15: Medium / high risk:

Identify suitable methods of controlling the risk presented by the activity and take extra care and attention. Persons who are unfamiliar with the activity / or are not competent should not undertake this task until a full assessment has been undertaken. Seek further advice from your Health and Safety Advisors if necessary

Yellow Zone: 5-9: Medium risk

Consider if the risk can be reduced further by suitable control measures.

Green Zone: 1-2: Very low risk, 3-4: Low risk

Remember, even low risks can cause harm. Consider, can you reasonably reduce the risks to the lowest level possible.



3. (Cont)

Identify and implement additional control measures that eliminate or minimise the risks to acceptable levels

When deciding how to control the risk you will need to consider the following 'hierarchy of risk control' in the order shown: If you cannot eliminate the hazard totally, you may have to use one or more of the controls below.

1. Eliminate
2. Substitute
3. Isolate
4. Enclosure
5. Local ventilation then general ventilation
6. Good housekeeping
7. Exposure time reduced
8. Training
9. Personal Protective Equipment (PPE)
10. Welfare facilities

4. Record the assessment

Record the significant findings of the assessment and make sure all those involved in or affected by the work activity are aware of what must be done to control the risk.

5. Review of assessment

All assessments must be reviewed from time to time to ensure that the control measures implemented are effectively reducing risk levels. An investigation of a serious accident/incident must include the consideration as to whether local control measures are required or need reviewing.

Although no statutory period is given for when assessments must be reviewed, a review should take place when:

- There is a significant change in the work being carried out.
 - There is a change of legislation.
 - The working environment changes.
 - There are other changes that could affect the original assessment.
 - There have been significant accidents or near misses
- The technology being used is updated.

RISK ASSESSMENT FORMS suitable for general activities

A risk assessment form suitable for general risk assessments is contained on the next page.

SPECIFIC RISK ASSESSMENT FORMS

For in-depth risk assessments specific forms are available: These include:

- Manual Handling assessment form (available within Manual Handling Procedure).
- DSE (Computer) assessment form
- Hazardous Substance (COSHH) assessment form

Health and Safety Risk Assessment Form

ACTIVITY:				VENUE:				
HAZARD & HARM	WHO MIGHT BE HARMED	CURRENT CONTROLS	RISK LEVEL			FURTHER ACTION REQUIRED	ACTION BY WHOM & WHEN	RESIDUAL RISK LEVEL AFTER ACTION (L) X (S)
			Likelihood	Severity	Total L X			
ASSMT UNDERTAKEN BY:			SIGNATURE:				DATE:	
ASSMT REVIEW DATE:								

Legislation requiring specific risk assessments

Work at Height Regulations 2005
Control of Substances Hazardous to Health Regulations 2002
Manual Handling Operations Regulations 1992
Health and Safety (First-aid) Regulations 1981
Provision and Use of Work Equipment Regulations 1998
Lifting Operations and Lifting Equipment Regulations 1998
Confined Spaces Regulations 1997
Health and Safety (Display Screen Equipment) Regulations 1992
Control of Asbestos Regulations 2012
Control of Noise at Work Regulations 2005
Control of Vibration at Work Regulations 2005
Ionising Radiation Regulations 1999
Control of Artificial Optical Radiation 2010
Dangerous Substances and Explosive Atmospheres Regulations 2002
Personal Protective Equipment at Work Regulations 1992

Review schedule

Review interval	Next review due by	Next review start
3 Years	February 2021	

Version history

Version	Date	Approved by	Notes
V1	08.02.2018	SMC	

Links

Reference	Link
Health and Safety Policy	https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/heaSaf.pdf
Risk Policy	https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/risPol.pdf
Risk Procedure	https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/risPro.pdf

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Communications and Training

Will this document be publicised through Internal Communications?	TBC
Will training needs arise from this policy	TBC
If Yes, please give details	